

Chapter 5

Preparation of Reimbursement Claims

5.1 GENERAL

This chapter provides the guidelines for the preparation and submission of claims for grant reimbursement using form OTS-39, Grant Claim Invoice and OTS-39a, Grant Claim Detail as shown in EXHIBIT 5-A. Claims should be prepared using the agency's accounting records and based only on recorded costs for the period covered. To ensure proper accounting for reimbursements, invoices submitted to OTS should be recorded as a receivable in the accounting system.

Note: Claims not submitted on OTS-39 and OTS-39a will not be reimbursed. The computerized spreadsheet version of this form is available at <http://www.ots.ca.gov/forms/default.asp>. Grantees must use the spreadsheet version beginning October 2004.

5.2 CLAIM SUBMISSION

Claims are to be submitted in triplicate with an original signature on one copy and appropriate support documents attached. The grant director, authorizing official, or fiscal officer listed on Page 1 of the grant agreement must sign the claim. Written delegation for any other official must be on file with OTS and include signature samples of the authorized individual. No one may sign "for" the designated official listed.

Note: A quarterly claim must be submitted even if no expenses were incurred during the quarter. The claim would be submitted showing a zero net for current period.

5.3 CLAIM DUE DATES

Claims are due on a quarterly basis (3/31, 6/30, 9/30, 12/31), no later than 30 days following the end of each quarter, with the exception of the final claim. **Quarterly Claims will not be processed for grantees that are delinquent by two or more Quarterly Performance Reports (Chapter 7).**

Final Claims are due to OTS no later than 60 days following the grant end date, but may not be paid until OTS has received the grant's final report.

Note: Failure to submit reimbursement claims by the appropriate due dates may result in a suspension of the grant program, loss of grant funding, and/or a denial of future grant funding.

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5.4 CLAIM PREPARATION

Claims should be prepared using the detailed instructions provided in EXHIBIT 5-B. To ensure your claims are not returned and reimbursements are timely, make sure they meet the following criteria:

- Grant claims consist of the following documents:
 1. Grant Claim Invoice (OTS-39).
 2. Grant Claim Detail (OTS-39a).
 3. If applicable, Equipment Report (OTS-25), for Equipment purchases.
 4. If applicable, vendor invoices for Contractual Services and Equipment.
- Do not use white out or corrective tape
- Do not round-off costs
- Do not re-number claims at the end of the fiscal year
- Do not attach claim forms to the Quarterly Performance Reports
- Attach legible invoices for contractual service and equipment costs
- Attach a signed and completed OTS-25, Equipment Report, EXHIBIT 4-A, for all equipment purchases (Must reconcile to invoices submitted)
- Submit three sets of separately collated claims with appropriate attachments
- Be sure claims are correctly computed and reconciled
- Be sure to correctly record “prior claimed” amounts
- Ensure authorized signatures are on the claim
- Ensure costs claimed match the line items authorized in the budget for each category

Note: Claims not meeting these criteria may be returned and delay reimbursement.